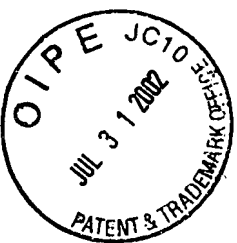


8-02-02

B

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Ronald S. Maynard
Title: Thin-Film Shape Memory Alloy Actuators And Processing Methods
Application No.: 09/079,703 Filing Date: May 15, 1998
Confirmation No.: 8633 Date Allowed: April 22, 2002
Examiner: Serke, Catherine Group Art Unit: 3763
Docket No.: M-9476 US



San Jose, California
July 31, 2002

BOX ISSUE FEE
COMMISSIONER FOR PATENTS
Washington, D. C. 20231

REQUEST FOR CONSIDERATION OF PREVIOUSLY SUBMITTED
INFORMATION DISCLOSURE STATEMENTS

Dear Sir:

Information Disclosure Statements (IDS) and PTO Form 1449s citing various references were submitted to the Office on May 28, 1998 and November 11, 1999. However, the PTO Form 1449s were not initialed and returned by the Examiner with the Notice of Allowance. Copies of these IDSs and PTO Form 1449s, along with the Return Receipt Postcards indicating receipt thereof by the Office, are attached hereto. Applicant requests that the Examiner considers the Information Disclosure Statements and cited documents and return an initialed copy of the PTO Form 1449s. Please direct any questions or comments to the undersigned at (408) 487-1315. Any fees associated with this request may be charged to Deposit Account No. 19-2386.

H/02

EXPRESS MAIL LABEL NO:

EV 180327917 US

Respectfully submitted,

James E. Parsons
Attorney for Applicant
Reg. No. 34,691

LAW OFFICES OF
SKJERNEN MORRILL LLP
25 METRO DRIVE
SUITE 700
SAN JOSE, CA 95110
(408) 453-9200
FAX (408) 453-7979

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JUN 1 1 1998

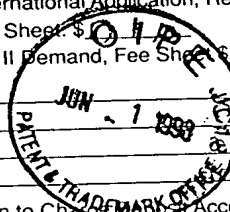
WILSON, SONSINI,
GOODRICH & ROSATI

DUCKETT ^{pg}

Patent Application for: Thin-Film Shape Memory Alloy
Actuators and Processing Methods
Inventor/Applicant Maynard
Application Serial-No. Not Yet Assigned Filing Date 5/5/98

- ☐ Missing Parts of Application Transmittal:
☐ Power of Attorney/Declaration
☐ Assignment/Form PTO-1595: Fee \$
☐ Small Entity Declaration
☐ Fee \$
☐ Extension of Time (____ mo.): Fee \$
☐ Request for Corrected Filing Receipt
☒ Information Disclosure Statement
☒ Form PTO-1449 with 66 references
☐ Other: _____

- ☐ Transmittal: _____
☐ Amendment/Response
☐ Issue Fee Transmittal/advance order: Fee \$
☐ Formal Drawings
☐ File Wrapper Continuation (R.1.62): Fee \$
☐ Continuation/Divisional (R.1.60): Fee \$
☐ PCT International Application, Request Form
and Fee Sheet \$
☐ Chapter II Demand, Fee Sheet \$



- ☒ Mail Certification:
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☒ First Class Mail

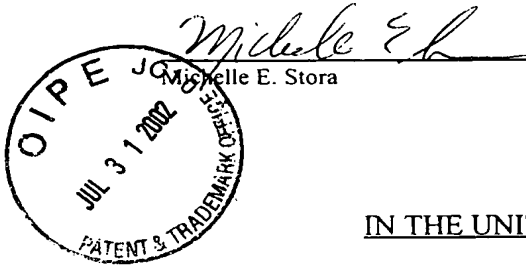
☒ Authorization to Charge Mark Office Account 23-2415

Attorney Docket No. 116436-709 Date Mailed: 5/28/98
Attorney: UPE

Please Stamp and Return This Postcard to Confirm Receipt of the Above.

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on 5/28/98



Michelle E. Stora

PATENT
Attorney Docket No. 16436-709

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application

Inventor(s): Ronald S. Maynard

Application No.: 09/079,703

Filed: May 15, 1998

Title: THIN-FILM SHAPE MEMORY ALLOY
ACTUATORS AND PROCESSING METHODS

) PATENT APPLICATION

)

)

) Art Unit: Not Yet Assigned

)

) Examiner: Not Yet Assigned

)

)

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)

)

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Listed below or on an attached Form PTO-1449 is information known to applicant(s). A copy of each listed publication and U.S. and foreign patent, except for pending U.S. applications, is being submitted herewith, along with a concise explanation of information in a foreign language, if any, pursuant to 37 C.F.R. §1.97-1.98.

Applicants respectfully request that the listed information be considered by the Examiner and be made of record in the above-identified application. If form PTO-1449 is enclosed, the Examiner is requested to initial and return it in accordance with MPEP §609.

This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, material to patentability as defined in §1.56.

X This statement qualifies under 37 C.F.R. §1.97, subsection (b) because (check all that apply):

- (1) It is being filed within 3 months of the application filing date
-- OR --
— (2) It is being filed within 3 months of entry of a national stage
-- OR --
X (3) It is being filed before the mail date of the first Office Action on the merits.

— 37 C.F.R. §1.97(c). If this statement is being filed after the latest of: (1) three months beyond the filing date of a national application; (2) three months beyond the date of entry of the national stage as set forth in §1.491 in an international application; or (3) the mailing date of a first Office action on the merits, but before the mailing date of the earlier of a final office action under §1.113 or a notice of allowance under §1.311, then:

— a certification as specified in §1.97(e) is provided below; or

— a fee of \$220.00 as set forth in §1.17(p) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.

— 37 C.F.R. §1.97(d). If this statement is being filed after the mailing date of the earlier of a final office action under §1.113 or a notice of allowance under §1.311, but before payment of the issue fee, then:

A. a certification as specified in §1.97(e) is completed below; **and**

B. a petition under 37 C.F.R. §1.97(d) requesting consideration of this statement is submitted herewith; **and**

C. a fee of \$130.00 as set forth in §1.17(i)(1) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.

X **Fee Authorization.** The Commissioner is hereby authorized to charge underpayment of any additional fees or credit any overpayment associated with this communication to Deposit Account No. 23-2415 (16436-709). A duplicate copy of this authorization is enclosed.

Respectfully submitted,

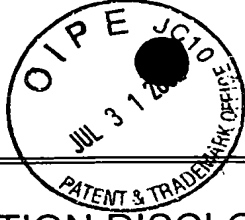
WILSON SONSINI GOODRICH & ROSATI

Date: 5/20/96

By: 

U. P. Peter Eng
Reg. No. 39,666

650 Page Mill Road
Palo Alto, CA 94304-1050
(650) 493-9300

INFORMATION DISCLOSURE
CITATION

PTO-1449

ATTY. DOCKET NO.
16436-709APPLICATION NO.
09/079,703APPLICANT
Ronald S. MaynardFILING DATE
5/15/98GROUP
Not Yet Assigned

U.S. PATENT DOCUMENTS

EXAMINER'S INITIALS	PATENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
	3,598,125	8/10/71	Cogley	128	346	6/7/68
	4,164,045	8/14/79	Bokros, et al.	3	1.4	8/3/77
	4,337,090	6/29/82	Harrison	148	402	9/5/80
	4,490,975	1/1/85	Yaeger, et al.	60	527	3/14/85
	4,524,343	6/18/85	Yaeger, et al.	60	527	3/14/83
	4,533,411	8/6/85	Melton	148	402	11/15/83
	4,543,090	9/24/85	McCoy	604	95	10/31/83
	4,553,393	11/19/85	Ruoff	60	528	8/26/83
	4,559,512	12/17/85	Yaeger, et al.	337	140	12/28/84
	4,565,589	01/21/86	Harrison	148	402	9/28/83
	4,601,705	7/22/86	McCoy	604	95	5/3/85
	4,631,094	12/23/86	Simpson, et al.	148	11.5	11/6/84
	4,665,906	5/19/87	Jervis	128	92	5/21/86
	4,700,541	10/20/87	Gabriel, et al.	60	528	10/16/86
	4,753,223	6/28/88	Bremer	128	4	11/7/86
	4,758,222	7/19/88	McCoy	604	95	6/5/86
	4,770,725	9/13/88	Simpson, et al.	148	402	6/5/87
	4,776,541	10/11/88	Maynard	244	165	2/27/87
	4,777,799	10/18/88	McCoy, et al.	60	528	10/2/87
	4,790,624	12/13/88	Van Hoyer, et al.	350	96.26	10/31/86
	4,884,557	12/5/89	Takehana, et al.	128	4	5/11/88

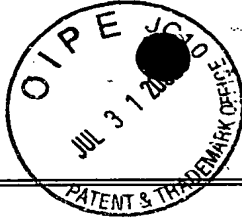
FOREIGN PATENT DOCUMENTS

EXAMINER'S INITIALS	PATENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						Yes	No

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER	DATE CONSIDERED
----------	-----------------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

INFORMATION DISCLOSURE
CITATION

PTO-1449

ATTY. DOCKET NO.
16436-709APPLICATION NO.
09/079,703APPLICANT
Ronald S. MaynardFILING DATE
5/15/98GROUP
Not Yet Assigned

U.S. PATENT DOCUMENTS

EXAMINER'S INITIALS	PATENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
	4,918,919	4/24/90	McCoy, et al.	60	528	7/19/89
	4,990,883	2/5/91	Escobar, et al.	337	357	6/9/89
	4,994,727	7/31/90	McCoy	604	95	7/31/90
	5,055,101	10/8/91	McCoy	604	95	128/89
	5,061,914	10/29/91	Busch, et al.	337	140	6/27/89
	5,067,957	11/26/91	Jervis	606	108	9/2788
	5,078,684	1/7/92	Yasuda	604	95	1/26/90
	5,090,956	2/25/92	McCoy	604	95	12/4/89
	5,114,402	5/19/92	McCoy	604	95	3/5/91
	5,135,517	8/4/92	McCoy	604	281	7/19/90
	5,165,897	11/24/92	Johnson	434	113	8/10/90
	5,176,544	1/5/93	Abujudom, II, et al.	439	878	5/22/91
	5,188,111	2/23/93	Yates, et al.	128	657	1/18/91
	5,190,546	3/2/93	Jervis	606	78	4/9/91
	5,229,211	7/20/93	Murayama, et al.	428	424.4	10/3/91
	5,254,130	10/19/93	Poncet, et al.	606	206	4/13/92
	5,279,559	1/18/94	Barr	604	95	3/6/92
	5,309,717	5/10/94	Minch	60	527	3/22/93
	5,334,168	8/2/94	Hemmer	604	281	6/11/93
	5,335,498	8/9/94	Komatsu, et al.	60	528	1/29/93
	5,345,937	9/13/94	Middleman, et al.	128	657	7/28/93

FOREIGN PATENT DOCUMENTS

EXAMINER'S INITIALS	PATENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						Yes	No

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER	DATE CONSIDERED
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INFORMATION DISCLOSURE
CITATION

PTO-1449

ATTY. DOCKET NO.
16436-709APPLICATION NO.
09/079,703APPLICANT
Ronald S. MaynardFILING DATE
5/15/98GROUP
Not Yet Assigned

U.S. PATENT DOCUMENTS

EXAMINER'S INITIALS	PATENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
	5,405,337	4/11/95	Maynard	602	128	2/24/93
	5,481,184	1/2/96	Jacobsen	324	106	6/12/92
	5,482,029	1/9/96	Sekiguchi, et al.	600	109	6/24/93
	5,531,685	7/2/96	Hemmer, et al.	604	95	8/1/94
	5,556,370	9/17/96	Maynard	600	142	7/28/93
	5,562,726	10/8/96	Chuter	623	1	12/22/93
	5,624,380	4/29/97	Takayama, et al.	600	146	2/28/95
	5,662,621	9/2/97	Lafontaine	604	281	7/6/95

FOREIGN PATENT DOCUMENTS

EXAMINER'S INITIALS	PATENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						Yes	No
	0 558 352 A1	01/93	Europe	A61B	17/11		
	0 554 128	12/93	Europe	F03G	7/06		
	0 326 426 A2	02/89	Europe	B29C	61/00		
	WO 90/15582	12/90	PCT	A61F	2/06		
	WO 92/01425	02/92	PCT	A61F	2/06		
	WO 94/19051	9/94	PCT	A61M	37/00		
	WO 95/34189	12/95	PCT	H05B	3/00		
	3-5128	1/91	Japan				
	61-185082	8/86	Japan				
	61-190177	8/86	Japan				
	7-247954	9/95	Japan				
	7-75355	3/95	Japan				
	1696298	12/91	Soviet Union				

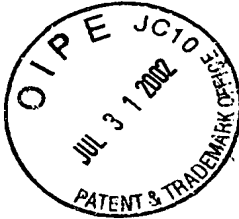
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	Busch, J. D., et al., "Prototype Micro-Valve Actuator"
	Ikuta, K., et al., Crystallographic Analysis of Tni Shape Memory Alloy Thin Film for Micro Actuator"
	Kuribayashi, K., "Reversible SMA Actuator for Micron Sized Robot"

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



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WILSON, SONSINI,
GOODRICH & ROSATI

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Title: <u>THIN-FILM SHAPE MEMORY ALLOY ACTUATORS AND PROCESSING METHODS</u>		
Inventors/Applicant: <u>RONALD S. MAYNARD</u>		
Application Serial No.: <u>09/079,703</u>		Filing Date: <u>5-15-98</u>
Type Of Application: <input type="checkbox"/> Provisional <input type="checkbox"/> Original <input type="checkbox"/> CIP <input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> CPA <input type="checkbox"/> PCT		
<input type="checkbox"/> Transmittal of Patent Application <input type="checkbox"/> Specification and Abstract _____ pages <input type="checkbox"/> Claims _____ pages <input type="checkbox"/> Drawings _____ pages <input type="checkbox"/> Missing Parts of Application Transmittal <input type="checkbox"/> Declaration/Oath <input type="checkbox"/> Combined Declaration/Power of Attorney <input type="checkbox"/> Power of Attorney <input type="checkbox"/> Power of Attorney by Assignee <input type="checkbox"/> Assignment/Form PTO 1595 <input type="checkbox"/> Small Entity Declaration <input type="checkbox"/> PCT International Application Request Form _____ pages <input type="checkbox"/> Specification _____ pages <input type="checkbox"/> Claims _____ pages <input type="checkbox"/> Abstract _____ pages <input type="checkbox"/> Drawings _____ pages	<input type="checkbox"/> Fee Transmittal <input type="checkbox"/> Filing Fee \$ _____ <input type="checkbox"/> Claims in excess \$ _____ <input type="checkbox"/> Independent claims in excess \$ _____ <input type="checkbox"/> Surcharge \$ _____ <input type="checkbox"/> Extension of time (____ mo.) <input type="checkbox"/> Request for Corrected Filing Receipt <input checked="" type="checkbox"/> <u>SUPPLEMENTAL</u> Information Disclosure Statement <input checked="" type="checkbox"/> Form PTO-1449 with <u>2</u> references <input type="checkbox"/> Amendment/Response <input type="checkbox"/> Issue Fee <input type="checkbox"/> Formal Drawings	<input type="checkbox"/> Extension of time fee \$ _____ <input type="checkbox"/> Req-Corr Filing Receipt Fee \$ _____ <input type="checkbox"/> Issue fee/advance order \$ _____ <input type="checkbox"/> Other Fee \$ _____ <input type="checkbox"/> Chapter II Request/Fee Sheet <input type="checkbox"/> Response-Invitation to Correct <input type="checkbox"/> Article 34 <input type="checkbox"/> Article 19 <input type="checkbox"/> Response to Written Opinion
<input type="checkbox"/> Express Mail Certificate No. _____ <input checked="" type="checkbox"/> First Class Mail <input checked="" type="checkbox"/> Authorization to Charge Deposit Account No. 23-2415	Other: <u>COPY OF FOREIGN SEARCH REPORT</u>	
Attorney Docket No. <u>16436-709</u> Attorney: <u>UPE</u>	Date Mailed: <u>11/11/99</u>	

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